

FRATERNAL SOCIETIES

COMPANY NAME: _____

NAIC Company Code: _____

Contact: _____

Telephone: _____

REQUIRED FILINGS IN THE STATE OF: ARIZONA

Filings Made During the Year 2015

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*		(5) DUE DATE	(6) FORM SOURCE* *	(7) APPLICABLE NOTES
			Domestic State	Foreign State			
		I. NAIC FINANCIAL STATEMENTS					
	1	Annual Statement (8 1/2"x14")	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	EO	xxx	5/15, 8/15, 11/15	NAIC	
	3	Separate Accounts Annual Statement (8 1/2" x 14")	EO	xxx	3/1	NAIC	
		II. NAIC SUPPLEMENTS					
	10	Accident & Health Policy Experience Exhibit	EO	xxx	4/1	NAIC	
	11	Analysis of Annuity Operations by Lines of Business	EO	xxx	4/1	NAIC	
	12	Analysis of Increase in Annuity Reserves During Year	EO	xxx	4/1	NAIC	
	13	Health Care Exhibit (Parts 1, 2 and 3) Supplement	EO	xxx	4/1	NAIC	
	14	Health Care Exhibit's Allocation Report Supplement	EO	xxx	4/1	NAIC	
	15	Interest Sensitive Life Insurance Products Report	EO	xxx	4/1	NAIC	
	16	Investment Risk Interrogatories	EO	xxx	4/1	NAIC	
	17	Long Term Care Experience Reporting Forms	EO	xxx	4/1	NAIC	
	18	Management Discussion & Analysis	EO	xxx	4/1	Company	
	19	Medicare Supplement Insurance Experience Exhibit	EO	xxx	3/1	NAIC	
		Medicare Part D Coverage Supplement	EO	xxx	3/1	NAIC	
	20				5/15, 8/15, 11/15		
	21	Risk-Based Capital Report	EO	xxx	3/1	NAIC	
	22	Supplemental Compensation Exhibit	N/A	N/A		NAIC	
		Trusted Surplus Statement	EO	xxx	3/1	NAIC	
	23				5/15, 8/15, 11/15		
	24	XXX/AXXX Reinsurance Exhibit	EO	xxx	4/1	NAIC	
		Actuarial Related Items					
	25	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	EO	xxx	3/1	Company	
	26	Actuarial Certifications Related to Hedging required by Actuarial Guideline XLIII	EO	xxx	3/1	Company	
	27	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	EO	xxx	3/1	Company	
	28	Actuarial Certification regarding use 2001 Preferred Class Table	EO	xxx	3/1	Company	
	29	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII	N/A	N/A	4/30	Company	
	30	Actuarial Opinion	EO	xxx	3/1	Company	
	31	Actuarial Opinion on X-Factors	EO	xxx	3/1	Company	
	32	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	EO	xxx	3/1	Company	

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			Domestic		Foreign			
			State	NAIC	State			
	33	Actuarial Opinion on Synthetic Guaranteed Investment Contracts		EO	xxx	3/1	Company	
	34	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation		EO	xxx	3/1	Company	
	35	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII		EO	xxx	3/1	Company	
	36	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII		EO	xxx	3/1	Company	
	37	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV		EO	xxx	3/1 5/15, 8/15, 11/15	Company	
	38	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV		EO	xxx	3/1 5/15, 8/15, 11/15	Company	
	39	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI		EO	xxx	3/1 5/15, 8/15, 11/15	Company	
	40	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)		EO	xxx	3/1 5/15, 8/15, 11/15	Company	
	41	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)		EO	xxx	3/1 5/15, 8/15, 11/15	Company	
	42	RBC Certification required under C-3 Phase I		EO	xxx	3/1	Company	
	43	RBC Certification required under C-3 Phase II		EO	xxx	3/1	Company	
	44	Statement on non-guaranteed elements – Exhibit 5 Interr. #3		EO	xxx	3/1	Company	
	45	Statement on participating/non-participating policies – Exhibit 5, Inter. #1 & 2		EO	xxx	3/1		
	46	RAAIS required by Actuarial Opinion and Memorandum Regulation (Model 822), Section 7A(5)		N/A	xxx	3/15	Company	
		III. ELECTRONIC FILING REQUIREMENTS						
	60	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	61	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	62	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	NAIC	
	63	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	NAIC	
	64	Separate Accounts Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	65	Separate Accounts .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	66	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	67	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	68	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	69	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15		
	70	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
	81	Accountants Letter of Qualifications		EO	N/A	6/1	Company	
	82	Audited Financial Statements		EO	xxx	6/1	Company	
	83	Audited Financial Statements Exemption Affidavit		N/A	N/A		Company	

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			Domestic		Foreign			
			State	NAIC	State			
	84	Communication of Internal Control Related Matters Noted in Audit		N/A	N/A	8/1	Company	
	85	Independent CPA (Change)		N/A	N/A		Company	
	86	Management's Report of Internal Control over Financial Reporting		N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition		N/A	N/A		Company	
	88	Request for Exemption to File		N/A	N/A		Company	
	89	Relief from the five-year rotation requirement for lead audit partner		EO	N/A	3/1	Company	
	90	Relief from one-year cooling off period for independent CPA		EO	N/A	3/1	Company	
	91	Relief from the Requirements for Audit Committees		EO	N/A	3/1	Company	
		V. STATE REQUIRED FILINGS***						
	101	Certificate of Disclosure Form E-178		0	1	3/1	State	O
	102	Fraternal Societies Filing Checklist Form E-NAIC.Fraternal (Pages 1-3 Only of this form with Column 1 and page 3 contact information completed)		0	1	3/1	State	
	103	Annual Tax and Fees Report and Payment		0	1	3/1	State	
	104	Signed Jurat		0	xxx	3/1	NAIC	L

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state. EO (electronic only filing).

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

***For those states that have adopted the NAIC updated Holding Company Model Act, a Form F filing is required annually by holding company groups. Consistent with the Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC.

Note however that this filing is intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL:

http://www.naic.org/public_lead_state_report.htm.

PREPARED BY:

NAME & TITLE

PHONE NUMBER

E-MAIL ADDRESS

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NOTES AND INSTRUCTIONS (A-M APPLY TO ALL FILINGS)		
A	Required Filings Contact Person:	Tony McCormack Administrative Assistant III Phone: (602) 364-3245 OR E-mail address: AMccormack@azinsurance.gov
B	Mailing Address:	Arizona Department of Insurance Financial Affairs Division 2910 North 44 th Street, Suite 210 Phoenix, Arizona 85018-7269
C	Mailing Address for Annual Tax and Fees Report: Due 3/1	Arizona Department of Insurance Insurance Tax Unit 2910 North 44 th Street, Suite 210 Phoenix, Arizona 85018-7269 Use appropriate form located on our Tax Forms and Instructions web page at http://www.azinsurance.gov/taxunit/index.html and the NAIC OPT ^{ins} system. YOU MAY ELECTRONICALLY FILE AND PAY TAXES AND FEES VIA THE NAIC OPT^{ins} SYSTEM.
D	Premium Tax Payments: Due 3/1 Retaliatory Only	Arizona Department of Insurance Insurance Tax Unit 2910 North 44 th Street, Suite 210 Phoenix, Arizona 85018-7269 <u>Contact Person:</u> Susan Yepez (602) 364-3997 E-mail address: SYepez@azinsurance.gov Use appropriate form located on our Tax Forms and Instructions web page at http://www.azinsurance.gov/taxunit/index.html and the NAIC OPT ^{ins} system. YOU MAY ELECTRONICALLY FILE AND PAY TAXES AND FEES VIA THE NAIC OPT^{ins} SYSTEM.
E	Delivery Instructions:	All packages <i>must</i> bear U.S. postmark or courier pick-up date. If due date is a weekend or holiday, deadline is next business day.
F	Late Filings: License will be summarily suspended if renewal fee is not paid when due or if financial condition is unknown due to failure to file annual statement.	Up to \$25.00 per day – Annual Statement, Annual Fees, Actuarial Opinion, Management Discussion and Analysis or Audited Financial Report. Up to \$25.00 per day – Certificate of Disclosure Form E-178. Up to \$100.00 per day – Quarterly Statements. We use the USPS postmark or courier pick-up date as the date filed.

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G	Original Signatures:	Foreign companies should follow the instructions in the NAIC Annual Statement Instructions.
H	Signature/Notarization/Certification:	NOTARIZED SIGNATURES <u>MUST</u> BE OF AT LEAST TWO (2) OF YOUR EXECUTIVE OFFICERS, <u>WHO ARE LISTED ON YOUR JURAT PAGE</u> .
I	Amended Filings:	<u>Must</u> be filed within 10 days, with an explanation. Signature requirements apply.
J	Exceptions from normal filings:	<p><u>EXEMPTIONS:</u> Annual Statement filing exemption – NONE. Audited Financial Report exemptions use NAIC Annual Statement Instructions. Must be filed at least 10 days prior to due date. Form F waiver must be filed no later than March 31. Form E-DIRCOMWAIVER.</p> <p><u>EXTENSIONS:</u> Approved for a catastrophic event only.</p> <p><u>FOREIGN:</u> Must provide a copy of an exemption/extension letter from your state of domicile.</p>
K	Bar Codes (State or NAIC)	Use NAIC Annual Statement instructions.
L	Signed Jurat	Not required to be filed with us.
M	NONE Filings:	Every page of the annual statement must be included in sequential page number order. All State forms <u>must</u> be completed or stamped <u>“None”</u> if there are no entries on the form, and returned as instructed.
N	Filings new, discontinued, or modified materially since last year:	None of the filings have been discontinued since last year.
O	Certificate of Disclosure Form E-178	The form should be <u>directed immediately</u> to your EXECUTIVE OFFICERS OR DIRECTORS <u>WHO ARE LISTED ON THE JURAT PAGE</u> for notarized original signatures. <u>Incomplete certificates will not be accepted</u> and may result in statutory penalty of \$25 per day.

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General Instructions for Companies to Use Checklist

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will not be sending their own checklist this year.

Electronic filing is intended to be filings submitted to the NAIC via the NAIC Internet Filing Site which eliminates the need for a company to submit diskettes or CD-ROM to the NAIC. Companies are not required to file hard copy filings with the NAIC.

Column (1)(Checklist) Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2)(Line #) Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3)(Required Filings) Name of item or form to be filed.

The **Annual Statement Electronic Filing** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The **March .PDF Filing** is .pdf files for annual statement data, detail for investment schedules and supplements due March 1.

The **Risk-Based Capital Electronic Filing** includes all risk-based capital data.

The **Risk-Based Capital .PDF Filing** is the .pdf file for risk-based capital data.

The **Separate Accounts Electronic Filing** includes the separate accounts annual statement and investment schedule detail.

The **Separate Accounts .PDF Filing** is the .pdf file for the separate accounts annual statement and investment schedule detail.

The **Supplemental Electronic Filing** includes all supplements due April 1, per the *Annual Statement Instructions*.

The **Supplemental .PDF Filing** is the .pdf file for all supplements due April 1.

The **Quarterly Electronic Filing** includes the quarterly statement data.

The **Quarterly .PDF Filing** is the .pdf for quarterly statement data.

The **June .PDF Filing** is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

Column (4)(Number of Copies) Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (E) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5)(Due Date) Indicates the date on which the company must file the form.

Column (6)(Form Source) This column contains one of three words: "NAIC," "State," or "Company." If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions (generally, on its website). If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7)(Applicable Notes) This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.